



COPY OF PAPERS  
ORIGINALLY FILED

\$2811

Please type a plus sign (+) inside this box   +  

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/334,646	
	Filing Date	June 17, 1999	
	First Named Inventor	Shunpei YAMAZAKI	
	Group Art Unit	2811	
	Examiner Name	S. Hu	
Total Number of Pages in This Submission		Attorney Docket Number	740756-1984

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Notice of Related Applications with PTO-1449 Form and One (1) Related Application <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Declaration and Power of Attorney <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Other  <b>RECEIVED APR - 2 2002 TECHNOLOGY CENTER 2800</b>
Remarks		<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 19-2380 for the above identified docket number.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Eric J. Robinson, Reg. No. 38,285 Nixon Peabody LLP 8180 Greensboro Drive Suite 800 McLean, VA 22102
Signature	
Date	March 13, 2002

CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <u>03/13/2002</u>		
Type or printed name	Gwyn J. Cantrell	
Signature		Date <u>March 13, 2002</u>

Burden Hour Statement: This form is estimated to take 9.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and



COPY OF PAPERS  
ORIGINAL

PTO/SB/17 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

# FREE TRANSMITTAL FOR FY 2002

Patent fees are subject to annual revision.

Complete if Known

Application Number 09/334,646  
Filing Date June 17, 1999  
First Named Inventor Shunpei YAMAZAKI  
Examiner Name S. Hu  
Group Art Unit 2811  
Attorney Docket No. 740756-1984

TOTAL AMOUNT OF PAYMENT (\$290.00)

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

19-2380

Deposit  
Account  
Name

Nixon Peabody LLP

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☐ Payment Enclosed:

- ☐ Check ☐ Credit Card ☐ Money  
Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid	
42	-55** = 0	X 18 = 0		
Independent Claims	4	-7** = 0	X 84 = 0	
Multiple Dependent		280	= 0	

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$0.00)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	
139	130	139	130 Non-English transaction	
147	2,520	147	2,520 For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examination	
113	1,840*	113	1,840* Requesting publication of SIR after Examination	
115	110	215	55 Extension for reply within first month	
116	400	216	200 Extension for reply within second month	
117	920	217	460 Extension for reply within third month	
118	1,440	218	720 Extension for reply within fourth month	
128	1,960	228	980 Extension for reply within fifth month	
119	320	219	160 Notice of Appeal	
120	320	220	160 Filing a brief in support of an appeal	
121	280	221	140 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive - unavoidable	
141	1,280	241	640 Petition to revive - unintentional	
142	1,280	242	640 Utility issue fee (or reissue)	
143	460	243	230 Design issue fee	
144	620	244	310 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Processing fee under 37 CR 1.17(q)	
126	180	126	180 Submission of Information Disclosure Stmt	180.00
581	40	581	40 Recording each patent assignment per property (times number of properties)	
146	740	246	370 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370 For each additional invention to be examined (37 CFR § 1.29(b))	
179	740	279	370 Request for Continued Examination (RCE)	
169	900	169	900 Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$290.00)

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, DC 20231, on March 13, 2002.

*Gwyn J. Cantrell*  
Gwyn J. Cantrell

## SUBMITTED BY

Name (Print/Type)

Eric J. Robinson

Registration No.  
(Attorney/Agent)

38,285

Complete (if applicable)

Telephone

703-790-9110

Signature

Date

March 13, 2002



COPY OF PAPERS  
ORIGINAL FILED

#25  
5-14-02  
Mallin

Docket No. 740756-1984

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Shunpei YAMAZAKI

Application Serial No. 09/334,646

Filed: June 17, 1999

For: SEMICONDUCTOR DEVICE AND  
FABRICATION METHOD THEREOF

) Group Art Unit: 2811

) Examiner: S. HU

) I hereby certify that this correspondence is  
) being deposited with the United States  
) Postal Service with sufficient postage as  
) First Class Mail in an envelope addressed  
) to: Commissioner for Patents,  
) Washington, D.C. 20231, on March 13, 2002  
) *Gwyn Cantrell*  
) Gwyn Cantrell

NOTICE OF RELATED APPLICATION

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the provisions of 37 C.F.R. 1.56 and 37 C.F.R. 1.97-1.99, it is requested that the reference listed on the attached Form PTO-1449 be made of record in the above-identified application. A copy of the reference is submitted herewith in accordance with 37 C.F.R. 1.98(a).

The Examiner's attention is directed to related Application Serial No. 08/520,079 filed August 28, 1995 which may disclose subject matter relevant to the subject application.

A check in the amount of \$180 is being submitted to comply with the provisions of 37 C.F.R. § 1.97(c).

The Commissioner is hereby authorized to charge fees under 37 C.F.R. §§1.16, 1.17, 1.20(a), 1.20(b), 1.20(c), and 1.20(d) (except the Issue Fee) which may be required now or hereafter, or credit any overpayment to Deposit Account No. 19-2380. A duplicate copy of this sheet is attached.

Respectfully submitted,

03/27/2002 DTESSEH1 00000099 09334646

02 FC:126

180.00 OP

*Eric J. Robinson*  
Eric J. Robinson  
Registration No. 38,285

NIXON PEABODY LLP  
8180 Greensboro Drive, Suite 800  
McLean, Virginia 22102  
Telephone (703) 790-9110